

#3  
Hand Delivery June 5, 2000

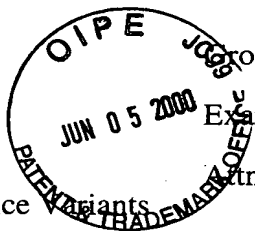
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Yu et al.

Application No.: 09/507,968

Filed: February 22, 2000

For: Neutrokin- $\alpha$  and  
Neutrokin- $\alpha$  Splice Variants



Group Art Unit: Not assigned

Examiner: Not assigned

Attorney Docket No.: PF343P3

**RESPONSE TO NOTICE TO FILE MISSING PARTS**

Assistant Commissioner for Patents  
BOX MISSING PARTS  
Washington, D.C. 20231

Sir:

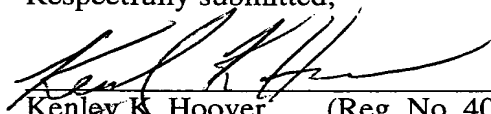
In response to the Notice to File Missing Parts mailed 4 April 2000, submitted herewith is an executed Declaration and Power of Attorney for entry into the above-referenced application.

In addition, the Commissioner is hereby authorized to charge the late filing fee surcharge of \$130.00, as set forth in 37 C.F.R. § 1.16(e), and any other fee deemed necessary, to Deposit Account No. 08-3425. A duplicate of this sheet is enclosed.

Lastly, enclosed are 25 pages of sequence listing, and a computer-readable diskette containing same, to comply with the requirements for nucleotide and/or amino acid disclosure as set forth in 37 C.F.R. 1.821-1.825. Applicants hereby state under 37 C.F.R. §§1.821(f) and 1.825(b) that the hard copy of the sequence listing filed with the subject application on February 22, 2000, and the copy of the sequence listing and diskette submitted herewith, are identical. Moreover, applicants hereby certify under 37 C.F.R. §§1.821(g) and 1.825(a) that the enclosed sequence listing contains no new matter.

Respectfully submitted,

Dated: June 5, 2000

  
Kenley K. Hoover (Reg. No. 40,302)  
Attorney for Applicants

**Human Genome Sciences, Inc.**  
9410 Key West Avenue  
Rockville, Maryland 20850  
301-309-8504 (telephone)

## FORMALITIES LETTER



\*OC00000005027835\*

UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark OfficeAddress: COMMISSIONER OF PATENT AND TRADEMARKS  
Washington, D.C. 20231

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/507,968	02/22/2000	Guo-Liang Yu	PF343P3

Kenley K. Hoover, Esq.  
Human Genome Sciences, Inc.  
9410 Key West Avenue  
Rockville, MD 20850



Date Mailed: 04/04/2000

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The nucleotide and/or amino acid sequence disclosure contained in this application does not comply with the requirements for such a disclosure as set forth in 37 CFR 1.821 - 1.825 for the following reason(s):
  - A copy of the "Sequence Listing" in computer readable form has been submitted. However, the content of the computer readable form does not comply with the requirements of 37 CFR 1.822 and/or 1.823, as indicated on the attached copy of the marked-up "Raw Sequence Listing."

For questions regarding compliance to these requirements, please contact:

- For Rules Interpretation, call (703) 308-1123
- For CRF Submission Help, call (703) 308-4212
- PatentIn Software Program Support
- - For Technical Assistance, call (703) 287-0200
- - To Purchase PatentIn Software, call (703) 306-2600

- The balance due by applicant is \$ 130.

A copy of this notice **MUST** be returned with the reply.

*NA. Day*  
Customer Service Center  
Initial Patent Examination Division (703) 308-1202

06/06/2000 YPOLITE1 00000012 083425 09507968  
01 FC:105 130.00 CH

PART 2 - COPY TO BE RETURNED WITH RESPONSE



Hand Delivery June 5, 2000

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicants: Yu et al.

Application No.: 09/507,968

Group Art Unit: 1643

Filed: February 22, 2000

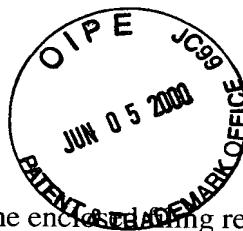
Examiner: Not assigned

For: Neutrokin- $\alpha$  and  
Neutrokin- $\alpha$  Splice Variants

Attorney Docket No.: PF343P3

**REQUEST FOR CORRECTION OF FILING RECEIPT**

Assistant Commissioner for Patents  
Washington, D.C. 20231



Sir:

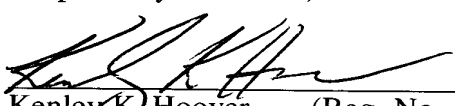
Applicants respectfully request that the enclosed filing receipt be corrected. Specifically, after "Continuing Data as Claimed by Applicant," please correct "THIS APPLICATION IS A CIP OF 09/225,794 01/05/1999" to read --THIS APPLICATION IS A CIP OF 09/255,794 02/23/99--.

The requested correction is indicated in red ink on the enclosed duplicate of the filing receipt.

No fee is believed due in connection with this request. However, if a fee is deemed necessary, please charge such fee to Deposit Account No. 08-3425. A duplicate of this sheet is enclosed.

Respectfully submitted,

Dated: June 5, 2000

  
Kenley K. Hoover (Reg. No. 40,302)  
Attorney for Applicants

**Human Genome Sciences, Inc.**  
9410 Key West Avenue  
Rockville, Maryland 20850  
301-309-8504 (telephone)

## FILING RECEIPT

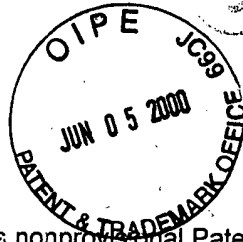


\*OC000000005027834\*

UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark OfficeAddress: ASSISTANT SECRETARY AND  
COMMISSIONER OF PATENT AND TRADEMARKS  
Washington, D.C. 20231

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/507,968	02/22/2000	1643	1014	PF343P3	16	25	6

RECEIVED

Kenley K. Hoover, Esq.  
Human Genome Sciences, Inc.  
9410 Key West Avenue  
Rockville, MD 20850

APR 06 2000

HGS PATENT DEPT

Date Mailed: 04/04/2000

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the PTO processes the reply to the Notice, the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

Guo-Liang Yu, Berkeley, CA ;  
Reinhard Ebner, Gaithersburg, MD ;  
Jian Ni, Rockville, MD ;  
Craig A. Rosen, Laytonville, MD ;

## Continuing Data as Claimed by Applicant 09/255,794 02/23/99

THIS APPLICATION IS A CIP OF 09/225,794 04/05/1999  
 WHICH CLAIMS BENEFIT OF 60/122,388 03/02/1999  
 WHICH CLAIMS BENEFIT OF 60/124,097 03/12/1999  
 WHICH CLAIMS BENEFIT OF 60/126,599 03/26/1999  
 WHICH CLAIMS BENEFIT OF 60/127,598 04/02/1999  
 WHICH CLAIMS BENEFIT OF 60/130,412 04/16/1999  
 WHICH CLAIMS BENEFIT OF 60/130,696 04/23/1999  
 WHICH CLAIMS BENEFIT OF 60/131,278 04/27/1999  
 WHICH CLAIMS BENEFIT OF 60/131,673 04/29/1999  
 WHICH CLAIMS BENEFIT OF 60/136,784 05/28/1999  
 WHICH CLAIMS BENEFIT OF 60/142,659 07/06/1999  
 WHICH CLAIMS BENEFIT OF 60/145,824 07/27/1999  
 WHICH CLAIMS BENEFIT OF 60/167,239 11/24/1999  
 WHICH CLAIMS BENEFIT OF 60/168,624 12/03/1999  
 WHICH CLAIMS BENEFIT OF 60/171,108 12/16/1999  
 WHICH CLAIMS BENEFIT OF 60/171,626 12/23/1999  
 WHICH CLAIMS BENEFIT OF 60/176,015 01/14/2000

## Foreign Applications

If Required, Foreign Filing License Granted 04/04/2000

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Title

Neutrokin-alpha and neutrokin-alpha splice variant

Preliminary Class

439

Data entry by : DAY, MARIAN

Team : OIPE

Date: 04/04/2000




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**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 36 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

**PLEASE NOTE the following information about the Filing Receipt:**

- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- The title may be truncated if it consists of more than 600 characters (letters and spaces combined).

- The docket number allows a maximum of 25 characters.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."

Any corrections that may need to be done to your Filing Receipt should be directed to:

Assistant Commissioner for Patents  
Office of Initial Patent Examination  
Customer Service Center  
Washington, DC 20231